

**Governor's Office of Faith Based
and Community Initiatives**

**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
October 27, 2004**

Table of Contents

Functional and Organizational Analysis of the Governor's Office of Faith Based and Community Initiatives

Sources of Information	1-1
Historical Context.	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-1
Coordinating Various Volunteer Programs	1-2
Serving as Staff for the Women's Commission	1-2
Administering Internal Operations	1-2
_____Organizational Chart	1-4

Analysis of Record Keeping System and Records Appraisal of the Governor's Office of Faith Based and Community Initiatives

Agency Record Keeping System	2-1
Records Appraisal	2-1
Temporary Records	2-1
Permanent Records	2-1
Permanent Records Lists	2-3

Governor's Office of Faith Based and Community Initiatives Records Disposition Authority

Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Coordinating Various Volunteer Programs	3-2
Serving as Staff for the Women's Commission	3-2
Administering Internal Operations	3-3
Requirement and Recommendations for Implementing the Records Disposition Authority	3-7

Functional and Organizational Analysis of the Governor's Office of Faith Based and Community Initiatives

Sources of Information

Representatives of the Governor's Office of Faith Based and Community Initiatives
Governors' Executive Orders 10 (11-05-1993), 40 (02-12-1998), 14 (01-06-2000), 41(12-15-2000), and 21 (06-22-2004)
Code of Alabama 1975, Section 41-9-410 through 41-9-414
AmeriCorps Program Director's Handbook (2002-2003)
Alabama Government Manual (2002), page 361 to 364
Governor's Office of Faith Based and Community Initiatives website

Historical Context

The Governor's Office on National and Community Service was created in 1993 by Gubernatorial Executive Order No. 10 (11-05-1993). Also created under the same order was the State Commission on National and Community Service, which provides oversight to the Governor's Office on National and Community Service. Gubernatorial Executive Order No. 40 (02-12-1998) placed the office under the Alabama Department of Economic and Community Affairs (ADECA). Gubernatorial Executive Order No. 14 (01-06-2000) transferred the office back to the governor's office. Gubernatorial Executive Order 41 (12-15-2000) moved the office again to ADECA. Gubernatorial Executive Order No. 21 (06-22-2004) created the Governor's Office of Faith Based and Community Initiatives and all appropriations, funds, personnel, records, equipments and other property of the Governor's Office on National and Community Service were transferred to the new office, which was placed under the governor. To further advise the governor and the State Commission on National and Community Service regarding matters affecting public community and faith-based organizations, the order also created an Advisory Board on Faith-Based and Community Initiatives.

Agency Organization

The State Commission on National and Community Service is composed of at least fifteen (15) voting members, who are appointed by the governor on a bi-partisan basis for three-year terms. The enabling order also provides that all appointments are to be balanced according to race, ethnicity, age, disability, and gender characteristics. One appointee must be the state superintendent of education or his/her representative. Not more than 25 percent of the voting members may be employees of state government, though additional state agency representatives and employees of the state system of higher education may sit on the commission as non-voting, ex-officio members. Members are eligible for two consecutive terms, and when vacancies among members occur, they are filled by the governor for the remainder of the unexpired term. Officers of the commission are elected by voting commission members from among their ranks for a term of one year, and consist

of a chair, vice-chair, secretary, and treasurer. Commission meetings are held at least quarterly. The newly created Advisory Board of Faith Based and Community Initiatives consists of the following eight ex-officio members: commissioner of Human Resources; commissioner of Mental Health/Mental Retardation; state superintendent of Education; state health officer; executive director of the Child Abuse and Neglect Prevention Board/Children's Trust Fund of Alabama; director of the Alabama Department of Economic and Community Affairs; commissioner of the Department of Youth Services; and the commissioner of the Department of Corrections. The Governor's Office of Faith Based and Community Initiatives is managed by a director appointed by the governor. The director reports to the chief of staff of the governor. The governor may appoint additional staff members to assist in the administration of the programs of the office. The Department of Mental Health and Mental Retardation serves as the fiscal agent for this office. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Governor's Office of Faith Based and Community Initiatives is to promote and coordinate community service and volunteer participation in government and private programs in the state. It is one of the agencies responsible for performing the Client Services function of Alabama government. In performance of its mandated function, the Governor's Office of Faith Based and Community Initiatives may engage in the following subfunctions.

- **Coordinating Various Volunteer Service Programs.** Staff members of the Governor's Office of Faith Based and Community Initiatives recommend statewide volunteer service programs (such as AmeriCorps, Citizen Corps, and Alabama Promise, etc.) for review and approval by the State Commission on National and Community Service, develop a central information clearinghouse on volunteer service opportunities, recruit applicants for programs, review applications, make recommendations on funding for approval by the State Commission on National and Community Service, train grant recipients, monitor program progress, and prepare various reports to the federal funding authorities.
- **Serving as Staff for the Women's Commission.** Created in 1971, the Women's Commission is authorized to study the status of women in Alabama and make recommendations to the legislature and governor concerning constructive action relating the public and private employment policies and practices, labor laws, legal rights, educational counseling and job training, volunteer work, and home and community interests. Staff members of the Governor's Office of Faith Based and Community Initiatives provide staff support and coordinate activities of the Women's Commission.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management work common to most

government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Governor's Office of Faith Based and Community Initiatives

Terri Hasdorff	Executive Director
Christine Williams	AmeriCorps Program Director
Zoa White	Disabilities Coordinator
Sydney Hoffman	Citizen Corps Director
Mandie Guy	Administrative Assistant

Analysis of Record Keeping System and Records Appraisal of the Governor's Office of Faith Based and Community Initiatives

Agency Record Keeping System

The Governor's Office of Faith Based and Community Initiatives currently operates a hybrid record keeping system composed of paper and electronic records. Staff members utilize several personal computers for program operations, but the office has no server itself.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Governor's Office of Faith Based and Community Initiatives: Temporary Records and Permanent Records.

I. Temporary Records. Temporary Records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Governor's Office of Faith Based and Community Initiatives are discussed below:

- **Volunteer Service Program Administrative and Financial Files.** This series consists of records created to document the application, screening, approval, training, monitoring, and reporting of various volunteer program participants. Records may include, but are not limited to, completed applications, enrollment forms, grant award documents, contracts of participants, time sheets and vouchers/payment for services, equipment and furnishing receipts, quarterly monitoring reports, annual progress reports, exit checklists, correspondence, and memos. Guidelines of the federal granting agency (Corporation for National and Community Service) requires state agencies receiving grants to keep all records for a minimum of three (3) years from the date of submission of the final financial status report (45 CFR 2541.420).

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Coordinating Various Volunteer Service Programs

- **Meeting Agendas, Minutes, and Packets (Commission on National and Community Service and the Advisory Board on Faith Based and Community Initiatives).** This series contains information on proposed and executed proceedings of the Commission on National and Community Service and the Advisory Board on Faith Based and Community Initiatives.

In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. These records should be preserved as the core documentation of the commission's operations. (RDA pg.3-2) **(Bibliographic Title: Meeting Minutes)**

- **Grant Project Final Reports.** As a recipient of federal grants, the office must prepare and submit grant project final reports to document progress and activities of programs funded by the federal government. These final reports should be maintained permanently as documentation of the office's performance of its functions and the state's achievements in utilizing resources to address critical needs of its communities.(RDA pg. 3-20) **(Bibliographic Title: Grant Project Final Narrative Reports)**
- **Publicity and Informational Materials.** The office may produce from time to time publicity and informational materials, which may include brochures, announcements, and newsletters. These records provide a concentrated source of information on the agency's volunteer programs. (RDA pg. 3-20) **(Bibliographic Title: State Publications)**

Serving as Staff for the Women's Commission

- **Meeting Agendas, Minutes, and Packets of the Women's Commission.** This series contains information on proposed and executed proceedings of the Women's Commission. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. These records should be preserved as the core documentation of the commission's operations. (RDA pg.3-3) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Women's Commission)**

Administering Internal Operations

- **Website.** The office has a website at: www.servealabama.gov. Information on the website includes description and participation procedures of all volunteer service programs administered by the office, calendar of events, and contact data. The website should be preserved as it serves as an important medium for communication with the public. (RDA pg. 3-4) **(Bibliographic Title: Website)**
- **Original bid records maintained in the purchasing office of the agency for contracts over \$7500.** Code of Alabama 1975, Section 41-16-24 requires that "all original bids together with all documents pertaining to the award of the contract shall be retained and made a part of the permanent file or records and shall be open to public inspection." These files need to be maintained in the agency's office. (RDA pg. 3-6)
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that ". . . All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts." These files need to be maintained in the agency's office. (RDA pg. 3-8)

Permanent Records List

Governor's Office of Faith Based and Community Initiatives

Coordinating Various Volunteer Service Programs

1. Meeting Agendas, Minutes, and Packets (Commission on National and Community Service and the Advisory Board on Faith Based and Community Initiatives)
2. Grant Project Final Reports
3. Publicity and Informational Materials

Serving as Staff for the Women's Commission

1. Meeting Agendas, Minutes, and Packets of the Women's Commission

Administering Internal Operations

1. Annual Reports
2. Website
3. Original bid records maintained in the purchasing office of the agency for contracts over \$7500*
4. Inventory Lists*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Governor's Office of Faith Based and Community Initiatives Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Governor's Office of Faith Based and Community Initiatives. The RDA lists records created and maintained by the Governor's Office of Faith Based and Community Initiatives in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Governor's Office of Faith Based and Community Initiatives. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain records and record-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that required no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary

documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Governor's Office of Faith Based and Community Initiatives and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Coordinating Various Volunteer Service Programs

MEETING AGENDAS, MINUTES, AND PACKETS (COMMISSION ON NATIONAL AND COMMUNITY SERVICE AND ADVISORY BOARD ON FAITH-BASED AND COMMUNITY INITIATIVES)

Disposition: PERMANENT RECORD.

GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

PUBLICITY AND INFORMATIONAL MATERIALS

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Commission Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Volunteer Service Program Administrative and Financial Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the grant project final reports were filed.

■ **Serving as Staff for the Women's Commission**

MEETING AGENDAS, MINUTES, AND PACKETS OF THE WOMEN'S COMMISSION

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Commission Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

■ **Administering Internal Operations**

Managing the Agency:

WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

Program Databases

Disposition: Temporary Record. Retain until superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

Managing Finances:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization for supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of contract. (Code of Alabama, Section 6-2-34).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. ORIGINAL BID RECORDS MAINTAINED IN THE PURCHASING OFFICE OF THE AGENCY FOR CONTRACTS OVER \$7500
Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 41-16-24).

- b. Duplicate copies of bid (originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Records documenting job recruitment

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year after request.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Records documenting payroll (e.g. pre-payroll report, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting final leave status

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

State Employees Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (Code of Alabama 1975, Section 25-5-4).

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Managing Properties, Facilities, and Resources:

INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 36-16 - 8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Computer Equipment Inventory Records

Disposition: Temporary Record. Retain until disposition of equipment.

Insurance Policies / Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Requirement and Recommendations for Implementing the Records Disposition Authority

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Governor’s Office of Faith Based and Community Initiatives (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records

destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 27, 2004.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Terri Hasdorff, Executive Director
Governor's Office of Faith Based and Community Initiatives

Date